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PPLICATION NO). F	ILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/516,792	-	03/01/2000	Steven H. M. Wallman	10392/46701	2856
26646	7590	08/26/2003			
	V & KENY	ON	EXAMINER		
ONE BROADWAY NEW YORK, NY 10004				AKERS, GEOFFRI	OFFREY R
				ART UNIT	PAPER NUMBER
		,		3624	-
				DATE MAILED: 08/26/2003	

Please find below and/or attached an Office communication concerning this application or proceeding.

•	Application No. O9/5/6792 Applicant(s) Wsline					
Office Action Summary	Examiner Art Unit / /					
	Alan, 9 3624 \//					
The MAILING DATE of this communication appears	on the cover sheet with the correspondence address					
Period for Reply A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE MONTH(S) FROM						
THE MAILING DATE OF THIS COMMUNICATION.						
 Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In mailing date of this communication. 	no event, however, may a reply be timely filed after SIX (6) MONTHS from the					
 If the period for reply specified above is less than thirty (30) days, a reply within the lf NO period for reply is specified above, the maximum statutory period will apply 	and will expire SIX (6) MONTHS from the mailing date of this communication.					
 Failure to reply within the set or extended period for reply will, by statute, cause t Any reply received by the Office later than three months after the mailing date of earned patent term adjustment. See 37 CFR 1.704(b). 						
Status	7/1/20					
1) Responsive to communication(s) filed on	3/1/00					
2a) This action is FINAL . 2b) This ac	tion is non-final.					
3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under <i>Ex parte Quayle</i> , 1935 C.D. 11; 453 O.G. 213.						
Disposition of Claims						
4) L4 Claim(s)	is/are pending in the application.					
4a) Of the above, claim(s)	is/are withdrawn from consideration.					
5) Claim(s)	is/are allowed.					
6) Claim(s) /-87	is/are rejected.					
7)	is/are objected to.					
8) Claims are subject to restriction and/or election requirement.						
Application Papers						
9) The specification is objected to by the Examiner.						
10) ☐ The drawing(s) filed on is/are a) ☐ accepted or b) ☐ objected to by the Examiner.						
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).						
11) The proposed drawing correction filed on is: a) approved b) disapproved by the Examiner.						
If approved, corrected drawings are required in reply to this Office action.						
12) The oath or declaration is objected to by the Examiner.						
Priority under 35 U.S.C. §§ 119 and 120						
13) ☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).						
a) □ All b) □ Some* c) □ None of:						
1. Certified copies of the priority documents have been received.						
2. Certified copies of the priority documents have been received in Application No.						
 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)). *See the attached detailed Office action for a list of the certified copies not received. 						
14)☐ Acknowledgement is made of a claim for domestic						
a) The translation of the foreign language provision						
15)☐ Acknowledgement is made of a claim for domestic						
Attachment(s)						
1) Notice of References Cited (PTO-892)	4) Interview Summary (PTO-413) Paper No(s).					
2) Notice of Draftsperson's Patent Drawing Review (PTO-948)	5) Notice of Informal Patent Application (PTO-152)					
— 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s)						

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DETAILED ACTION

1. Claims 1-87 have been examined.

Claim Rejections - 35 USC § 103

- 2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:
 - (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.
- 3. Claims 1-87 are rejected under 35 USC 103(a) as unpatentable over Hawkins(US Pat. No: 6,247,000) in view of Garber(US Pat. No: 5,963,923) and further in view of Kramer(US Pat. No: 6,324,525).
- 4. As per claims 1-87 Hawkins teaches a system for confirmation and settlement for financial transactions matching(Abstract)(Figs 1-30)(col 4 line 20-col 5 line 28) as well as a share based transaction(Fig 9) as well as currency based transactions(Fig 14). Garber teaches an electronic brokerage and trading network(Abstract) for a plurality of financial instruments(Figs 1-10)(col 3 line 41-col 5 line 6) and transactions(Fig 9). Kramer teaches netting financial transactions periodically(Abstract)(Fig 43)(Fig 16)(Fig 40) in currencies(Fig 20B) and maintaining a transaction log(Fig 21A/2180) and cache(Fig 21B) with a payment management module(Fig 27). It would havebeen obvious to one skilled in the art at the time of the invention to combine Hawkins in view of Garber and further in view of Kramer to teach the discloure. The motivation

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to combine Hawkins in view of Garber is to teach financial transactions matching utilizing the best aspects of a combined trader and broker function who makes a two-sided bid/offer market as enunciated by Garber(col 3 lines 45-50). Also, the motivation to combine Hawkins in view of Garber and further in view of Kramer is to teach financial transactions matching utilizing the best aspects of a combined trader and broker function who makes a two-sided bid/offer market for netting trades as enunciated by Kramer(col 4 lines 57-67).

Claim Rejections - 35 USC § 112

5. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

6. Claims 11,22,40,62,85 are also rejected under 35 USC 112 as failing to define the invention to enable one skilled in the art to utilize it. In particular it is necessary to provide the derivation, underlying assumptions and limitations on the presented equations.

Claim Rejections - 35 USC § 101

7. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

8. Claims 12-23 are also rejected under 35 USC 101 forfailing to define a concrete, useful and tangible output.

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Conclusion

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9. THIS ACTION IS MADE NON-FINAL.

10. Any questions concerning this communication should be addressed to the acting-SPE of record, Dr. Geoffrey Akers, P.E., who can be reached between 6:30 AM and 5:00 PM Monday through Friday at 703-306-5844. If attempts to contact the undersigned are unsuccessful, the

superior, Mr. Vincent Millin, SPE, may be telephoned at (703)-308-1065.

The fax number for Formal or Official faxes and Draft or Informal faxes to Technology Center 3600 or this Art Unit is (703)-308-3687. Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is (703)-308-1113.

August 19,2003

FREY R. AKERS, P.E.